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PATENT APPLICATION SERIAL NO. \_\_\_\_\_

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE  
FEE RECORD SHEET

07/03/2003 KZEWDIE 00000022 10673700

~~1-FC:1001~~

~~750.00-OP~~

Adjustment date: 01/21/2004 EEKUBAY1

10/03/2003 KZEWDIE 00000022 10673700

01 FC:1001 -750.00 OP

01/21/2004 EEKUBAY1 00000006 10673700

01 FC:2001 375.00 OP

02 FC:2202 333.00 OP

03 FC:2201 42.00 OP

PTO-1556

(5/87)

Law Offices

**HOLLAND & KNIGHT LLP**

633 West Fifth Street  
Twenty-First Floor  
Los Angeles, California 90071-2040

213-896-2400  
FAX 213-896-2450  
http://www.hklaw.com

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**FACSIMILE**

**TO:**  
REFUND SECTION  
ACCOUNTING DIVISION  
OFFICE OF FINANCE

DEPOSIT ACCOUNT BRANCH  
U.S. PATENT AND TRADEMARK OFFICE

(703) 308-6778

NAME COMPANY/FIRM FAX NUMBER  
Alexandria Virginia (703) 305-4631  
CITY STATE / COUNTRY (TELEPHONE NUMBER)

**FROM:**  
ROBERT E. LYON (213) 896-2545 9  
NAME TELEPHONE TOTAL PAGES (Including Cover Sheet)

**FOR THE RECORD:**  
DATE: January 13, 2004 URGENCY: ☐ SUPER RUSH ☐ RUSH ☒ REGULAR

FAXED BY: FILE #: 088141.00001 CLIENT NAME: COVIT

CONFIRMED: ☐ YES ☐ NO NAME: TIME:

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**MESSAGE:**

In re Application of: **Raymond Paul Covit**

Application No. 10/673,700

Group Art Unit: 3748

Filed: September 29, 2003

Examiner:

For: **DIESEL ENGINE EXHAUST PURIFICATION SYSTEM**

Attached: **Request for Refund (Improper Charge of Deposit Account)**

**CERTIFICATE OF TRANSMISSION UNDER 37 CFR 1.8**

I hereby certify that this correspondence (along with any referred to as being attached or enclosed) is being facsimile transmitted to the United States Patent and Trademark Office on

Date: January 13, 2004

*Catherine R. Viquelia*  
Catherine R. Viquelia

# 1617713\_v1

HK Ref. 088141.00001

PATENT

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

☒ In re application of: Raymond Paul Covit  
Application No.: 10/673,700 Group No.: 3748  
Filed: September 29, 2003 Examiner:  
For: DIESEL ENGINE EXHAUST PURIFICATION SYSTEM

Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

ATTENTION: Refund Section, Accounting Division, Office of Finance

**REQUEST FOR REFUND  
(IMPROPER CHARGE OF DEPOSIT ACCOUNT)**

## Refund Request

This is a request for a refund, with respect to the charge to Deposit Account No. 502481, shown on the statement dated January 2004, for the above-identified

- ☒ application.  
☐ patent.

*(check the following, if desired, and supply copy of statement)*

- ☒ A copy of the monthly statement, in which the error referred to occurs, accompanies this request.

**CERTIFICATION UNDER 37 C.F.R. §§ 1.8(a) and 1.10**

I hereby certify that, on the date shown below, this paper (along with any referred to as being attached or enclosed) is being:

**MAILING**

\_\_\_\_ deposited with the United States Postal Service in an envelope addressed to the Commissioner of Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450  
37 C.F.R. § 1.8(a) \_\_\_\_\_ 37 C.F.R. § 1.10 \_\_\_\_\_  
\_\_\_\_ with sufficient postage as first class mail. \_\_\_\_\_ as "Express Mail Post Office to Addressee" Mailing Label No. \_\_\_\_\_ (mandatory)

**TRANSMISSION**

☒ transmitted by facsimile to the Patent and Trademark Office.

Date: January 13, 2004

Signature

Catherine R. Viquelia

(type or print name of person certifying)

Adjustment date: 01/21/2004 EEKUBAY1  
01/05/2004 UEDUVIJE 00000003 502481 10673700  
01 FC:1202 666.00 CR  
02 FC:1201 84.00 CR

01/13/04 TUE 19:01 [TX/RX NO 9925] 0002

HK Ref. 088141.00001

**Fees Charged for which Refund Requested**

	FEE CODE	AMOUNT OF REFUND REQUESTED
<input type="checkbox"/> Filing fee	1001/2001	\$ _____
<input checked="" type="checkbox"/> Independent excess claims	1201/2201	\$ <u>666.00</u>
<input checked="" type="checkbox"/> Excess claims	1202/2202	\$ <u>84.00</u>
<input type="checkbox"/> Surcharge for filing the basic filing fee on a date later than the filing date of the application (37 C.F.R. § 1.16(e))	1051/2051	\$ _____
and/or		
<input type="checkbox"/> Surcharge for filing the oath or declaration on a date later than the filing date of the application (37 C.F.R. § 1.16(e))	1051/2051	\$ _____
<input type="checkbox"/> Extension of term		\$ _____
<input type="checkbox"/> first month	1251/2251	\$ _____
<input type="checkbox"/> second month	1252/2252	\$ _____
<input type="checkbox"/> third month	1253/2253	\$ _____
<input type="checkbox"/> fourth month	1254/2254	\$ _____
<input type="checkbox"/> fifth month	1255/2255	\$ _____
<input type="checkbox"/> Issue fee	1501/2501	\$ _____
<input type="checkbox"/> Petition fee		\$ _____
<input type="checkbox"/> Patent maintenance fee		\$ _____
<input type="checkbox"/> first maintenance fee due 3.5 years	1551/2551	\$ _____
<input type="checkbox"/> second maintenance fee due 7.5 years	1552/2552	\$ _____
<input type="checkbox"/> third maintenance fee due 11.5 years	1553/2553	\$ _____
<input type="checkbox"/> Patent maintenance fee surcharge		\$ _____
<input type="checkbox"/> Other:		\$ _____

**TOTAL REFUND REQUESTED \$ 750.00**

HK Ref. 088141.00001

**Explanation of Why Contested Charge Is In Error**

Attached is a copy of Applicant's New Application Transmittal, its Check No. 84005873 in the amount of \$750.00 and its return stamped postcard. As indicated on the transmittal form, Applicant claimed small entity status as asserted in its prior Provisional Application No. 60/435,412. Applicant also enclosed its check to cover the requisite fees. Applicant believes the Office inadvertently charged Deposit Account 502481 when in fact the requisite fees were paid by check.

**Manner of Refund**

Please make refund by

- ☒ crediting Deposit Account No. 502481.
- ☐ crediting credit card as shown on the attached credit card information authorization form PTO-2038.  
**WARNING:** Credit card information should *not* be included on this form as it may become public.
- ☐ refunding payment.

Reg. No. 24.171

Telephone No. (213) 896-2545

Customer No. 34261

  
SIGNATURE OF PRACTITIONER**ROBERT E. LYON**

(type or print name of practitioner)

**HOLLAND & KNIGHT LLP****633 West Fifth Street, 21<sup>st</sup> Floor****Los Angeles, California 90071-2040****P.O. Address**

JAN2004

# 1517152\_v1



**United States  
Patent and  
Trademark Office**



**Deposit Account Statement**

Requested Statement Month: January 2004  
 Deposit Account Number: 502481  
 Name: HOLLAND & KNIGHT LLP  
 Attention: CATHERINE R VIQUELIA  
 Address: 633 WEST FIFTH STREET, 21ST FLOOR  
 City: LOS ANGELES  
 State: CA  
 Zip: 90071-2040

DATE	SEQ	POSTING REF TXT	ATTORNEY DOCKET NBR	FEE CODE	AMT	BAL
01/05	4	10673700	088141.00001	1202	\$666.00	\$1,834.00
01/05	5	10673700	088141.00001	1201	\$84.00	\$1,750.00
01/13	7	2049256		6206	\$200.00	\$1,550.00

START BALANCE	SUM OF CHARGES	SUM OF REPLENISH	END BALANCE
\$2,500.00	\$950.00	\$0.00	\$1,550.00

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HK Ref. 088141.00001

PATENT

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Mail Stop Patent Application  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

## NEW APPLICATION TRANSMITTAL

Transmitted herewith for filing is the patent application of

Inventor(s): **Raymond Paul COVIT**For (title): **DIESEL ENGINE EXHAUST PURIFICATION SYSTEM**

## 1. Type of Application

This new application is for a(n):

☒ Original☐ Design☐ Plant

## 2. Benefit of Prior U.S. Application(s) (35 U.S.C. §§ 119(e), 120 or 121)

☒ This new application is also a:☐ Divisional☒ Continuation☐ Continuation-in-part (C-I-P)of prior Application No. 60/435,412, filed on December 20, 2002, and claims the benefit of such prior U.S. application(s).

## 3. Papers Enclosed

A. Required for filing date under 37 C.F.R. § 1.53(b) (Regular) or 37 C.F.R. § 1.153 (Design) Application

15 Pages of specification4 Sheets of drawing15 Pages of claims☒ formal1 Pages of abstract☐ Informal31 TOTAL PAGES

B. Oath or Declaration

☒ Newly executed (original or copy)2 TOTAL PAGES

## CERTIFICATION UNDER 37 C.F.R. §§ 1.8(a) and 1.10

I hereby certify that, on the date shown below, this paper (along with any referred to as being attached or enclosed) is being:

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37 C.F.R. § 1.10

☒ as "Express Mail Post Office to Addressee" Mailing  
Label No. EU493711179US (mandatory)

Signature

CATHERINE R. VIGUELIA

(type or print name of person certifying)

Date: September 29, 2003



HK Ref. 088141.00001

## 4. Additional papers enclosed

☒ Power of Attorney

## 5. Fee Calculation (37 C.F.R. § 1.18)

A. ☒ Regular application

CLAIMS AS FILED					
	Number Filed		Number Extra	Rate	Basic Fee 37 C.F.R. § 1.18(a) \$ 750.00
Total Claims (37 C.F.R. § 1.18(c))	57	- 20 =	37	x \$ 18.00	\$666.00
Independent Claims (37 C.F.R. § 1.18(b))	4	- 3 =	1	x \$ 84.00	\$84.00
Multiple dependent claim(s), if any (37 C.F.R. § 1.18(d))				+ \$ 280.00	
FILING FEE CALCULATION					<b>\$1,500.00</b>

## 6. Assertion of Small Entity Status

☒ Status as a small entity was asserted in the prior application 60/435,412, filed on December 20, 2002, from which benefit is being claimed for this application under: 35 U.S.C.

☒ § 119(e) ☐ § 120 ☐ § 121 ☐ § 365(c)

and which status as a small entity is still proper and asserted for this application.

FILING FEE CALCULATION (50% of A, B or C above)

**\$ 750.00**

## 7. Fee Payment Being Made at This Time

☒ Enclosed Filing fee\$ 750.00

TOTAL FEES ENCLOSED

\$ 750.00

## 8. Method of Payment of Fees

☒ Attached is a ☒ check ☐ money order in the amount of \$ 750.00.

☒ Charge any additional fees required by this paper or credit any overpayment to Deposit Account No. 502481. A duplicate of this paper is attached.

Reg. No. 26,300

Telephone No. (213) 896-2510

Facsimile No. (213) 896-2450

Customer No.



34261

PATENT TRADEMARK OFFICE

APR2003

# 1219033\_V1

SIGNATURE OF PRACTITIONER

RICHARD E. LYON, JR.

(type or print name of practitioner)

HOLLAND &amp; KNIGHT LLP

633 West Fifth Street, 21<sup>st</sup> Floor

Los Angeles, California 90071-2040

Please acknowledge receipt of the following by affixing hereon the Patent and Trademark Office date stamp and returning this card to our office.

Applicant: Raymond Paul COVIT  
 Filed: Concurrently Herewith  
 For: Diesel Engine Exhaust Purification System

### NEW UTILITY PATENT APPLICATION

Enclosure(s): 2-page Transmittal (in duplicate); 31-page Application including 15-page Specification, 15-page Claims and 1-page Drawings; 4 sheets of Formal Drawings; 2-page Declaration; 1-page Power of Attorney and Check No. 84005873 for \$750.00

Date of Mailing: September 29, 2003  
 Express Mail Label No.: EU493711179US

HOLLAND &amp; KNIGHT LLP

1038785 Commissioner for Patents

09/25/03

CHECK NO.

84005873

VOUCHER NO.	INVOICE NO.	GL NO.	DESCRIPTION	AMOUNT
1199994	60/435.412	01104610000000000000000000	088141-00001	750.00
TOTAL				\$750.00

### HOLLAND & KNIGHT LLP

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63-781/631

84005873

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DATE  
 09/25/03

AMOUNT  
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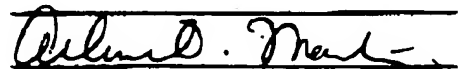
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Commissioner for Patents  
 P.O. Box 1450  
 Alexandria, VA 22313-1450

TWO SIGNATURES REQUIRED ON CHECKS OVER \$2,500



⑈84005873⑈ ⑆063107513⑆ 2090002390441⑈

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Filed: Concurrently Herewith  
For: Diesel Engine Exhaust Purification System

**NEW UTILITY PATENT APPLICATION**

Enclosure(s): 2-page Transmittal (in duplicate); 31-page Application including 15-page Specification, 15-page Claims and 1-page Drawings; 4 sheets of Formal Drawings; 2-page Declaration; 1-page Power of Attorney and Check No. 84005873 for \$750.00

Date of Mailing: September 29, 2003

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03940 U.S. PTO  
10/673699



092903